DCMA NSEO QUALITY PROCESS SURVEILLANCE

(QPS) CHECKLIST #09

CONTROL OF SUPPLIERS/SUBCONTRACTORS FLOW DOWN OF CUSTOMER REQUIREMENTS

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| **SUPPLIER & CAGE:**  |  |
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| **LOCATION:** |  |
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**Program Type:**

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| --- | --- | --- | --- | --- | --- |
|  | Level I/SUSBAFE (LI/SS) |  | Navy Propulsion Program (NPP) |  | Deep Submergence Systems/Scope of Certification Program (DSS-SOC) |
|  | Nuclear Plant Material (NPM) |  | Naval Nuclear Propulsion Program (NNPP) |  | Aircraft Launch & Recovery Equipment (ALRE) |
|  | Fly By Wire Ships Control Systems (FBWSCS) |  | Ships Critical Safety Items (SCSIs) |  | Other: |

**Contractual Requirement(s) for this process:**

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**Supplier Procedure Number(s), Title(s) & Revision Level(s)/Date(s):**

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| Surveillance Performed By:  |  |
|  |  |
| Date(s) of Surveillance: |  |
| Contract Number(s): |  |
|  |  |
| Part Number(s)/Serial number(s)/NSN: |  |
|  |  |
| Part Nomenclature(s): |  |
|  |  |
| Supplier Personnel Contacted and Titles: |  |
|  |  |
| Drawing Number & Revision: |  |

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**Process Concerns and Guidance:**

* Missing or improper requirements passed down result in missed operations/inspections and delay in production.
* Contractually non-conforming product procured by the using activity
* Prime contractor not qualifying/proofing subcontractor processes initially, including special processes such as Welding and NDT.
* Improper storage, issue and handling of material by subcontractor
* Segregation of material, material control, nonconforming material and material traceability not controlled by subcontractor.
* Prime/subcontractor processes not in place or not updated to address current contract requirements.
* Lack of complete review of contract requirements by prime contractor to flow-down proper requirements to subcontractor.
* Lack of follow-up communication of prime to subcontractor during production.
* Subcontractor personnel are not made aware of malpractice prevention, security awareness and control of sensitive information and technology.

**QARs should use the “BASIS OF DETERMINATION” column to document the objective quality evidence and/or clarify the rationale used to support their decision. (e.g. direct observation, documents verified etc.)**

S = Satisfactory U = Unsatisfactory

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| **SURVEILLANCE QUESTIONS** | **S** | **U** | **BASIS OF DETERMINATION** |
| 1. Does the contractor have a procedure to address the control of subcontractors/flow-down of customer requirements?
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| 1. Do the procedures contain requirements that materials and workmanship, forming part of any subcontracted order, may be inspected and/or tested at all times and places by their customer and/or Government Inspector? Do Purchase Orders flow down these requirements?
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| 1. Do the procedures contain requirements that the customer’s contract or purchase order takes precedence in conflicts and disputes, including existing specification requirements?
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| 1. Do the procedures contain requirements that assure disposition of Waiver Requests or Vendor Information Requests (VIR) for interpretations, drawing or spec changes, nonconformance acceptance and repair welding authorization by the customer?
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| 1. Do the procedures ensure that special processes (e.g. welding and NDT procedures and radiographic film) requiring customer approval are submitted to the customer before subcontracted manufacturing or inspection begins? Is the supplier following the procedures?
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| 1. Do the procedures contain requirements that assure timely and effective corrective action responses from their subcontractors? Do subcontractor corrective action responses meet these requirements?
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| 1. Do the procedures contain requirements to prohibit contact with free and functional mercury for any component supplied to the Navy or Private Shipyard? Are these requirements flowed down in purchase orders?
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| 1. Do the procedures contain requirements that prohibit the usage of seamed pipe from subcontractors, when required by contract or specification?
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| 1. Do the procedures contain requirements with regards to malpractice prevention? Does the supplier perform follow-up to verify the implementation of malpractice prevention at the subcontractor’s facility?
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| 1. Do the procedures address material control, segregation of material, nonconforming material and material traceability for items subcontractors?
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| 1. Do the procedures address performance of generic alloy identity testing to assure material is a specified metallurgical group?
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| 1. Do the supplier's procurement procedures contain requirements with regards to security awareness and control of defense sensitive/controlled information and technology from subcontractors? Does the supplier perform follow-up to verify the implementation of security requirements at the subcontractor’s facility?
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| 1. Do procedures have provisions to identify pre-production procedures for sub-contractors?
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| 1. Do the supplier's procedures contain requirements to control customer furnished drawings and specifications, including subcontracted work?
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| 1. Do procedures address counterfeit detection and avoidance? Does the supplier flow down counterfeit detection and avoidance requirements?
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| 1. Are all subcontractors whose material will be incorporated into the final product or may impact the quality of the final product listed on an approved subcontractor list?
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| 1. Does the supplier maintain a register of its suppliers that includes approval status (e.g., approved, conditional, disapproved) and the scope of the approval (e.g., product type, process family)?
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| 1. Does a Supplier/Subcontractor evaluation system exist?
2. Is onsite assessment part of the subcontractor evaluation?

 1. Does the evaluation system define timeframes for re-evaluation?
2. Does the evaluation system define corrective action criteria for re-evaluation?
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| 1. Does the supplier inspect or verify that subcontracted or purchased product conforms to specified requirements prior to use, and are adequate inspection records available?
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| 1. For situations where objective quality evidence is required by ordering data/purchase order, is the evidence (test data) reviewed against specification requirements? Are records available to support this?
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| 1. Does the supplier monitor his subcontractors for trends, cost data or other indicators of performance? Is receipt inspection data used for supplier evaluations? Is this data used for subcontractor award determination?
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| 1. Is subcontractor provided data or OQE transcribed into the company’s record system?
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| 1. Is the actual certification or OQE from the facility where the inspection or testing was performed maintained and provided to the customer when “original certifications” are required?
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| 1. Do procedures identify the appropriate skills/experience level and/or proper training/certification of personnel required to produce conforming purchase orders? Are the people producing purchase orders of the appropriate skill/experience level and/or properly trained/certified?
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| Other Observations |  |  |  |
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| **Overall MPS Results:** | **SATISFACTORY** |  | **UNSATISFACTORY** |  |

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| **Corrective Action Generated?** | **No** |  |  | **Yes** |  |  | **CAR#** |  |

**FOLLOW-UP ACTION REQUIRED?**

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**SUMMARY/NOTES/COMMENTS/CONCERNS**:

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